

# CALIFORNIA EDUCATIONAL FACILITIES AUTHORITY

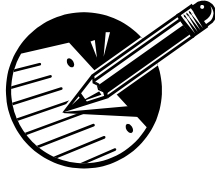
Philip Angelides, Chairman  
*CA State Treasurer*

## Academic Assistance Program Grant Application

Academic Assistance Program for Private  
Colleges and Universities to Expand  
Outreach Opportunities

915 Capitol Mall, Suite 590  
Sacramento, California 95814  
Phone: (916) 653-2799  
Fax: (916) 654-5362

**The Academic Assistance Program  
APPLICATION FORM**



*Please type all responses. Incomplete or illegible applications will not be considered.*

**A. Summary Information**

**Applicant Legal Name:** \_\_\_\_\_

**Federal Tax ID #:** \_\_\_\_\_

**Street Address:** \_\_\_\_\_

**City State Zip** \_\_\_\_\_

**County:** \_\_\_\_\_

**Address of Program (if different from above):** \_\_\_\_\_

\_\_\_\_\_  
**County:** \_\_\_\_\_

**Contact Person:** \_\_\_\_\_ **Title:** \_\_\_\_\_

**Phone:** \_\_\_\_\_ **Fax:** \_\_\_\_\_

**E-mail Address:** \_\_\_\_\_

**Requested Amount:**     \$ \_\_\_\_\_

NOTE: Eligible University and Colleges are limited to \$250,000 in grant funding per applicant.

**Date of Application:** \_\_\_\_\_

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**<Authority Use Only>**

Date Received: (stamp below)

\_\_\_\_\_

Allocation Meeting Date:

Resolution Number: \_\_\_\_\_

## **B. Applicant and Program Eligibility**

### 1. Your institution's eligibility:

- Is your institution a private, non-profit college or university situated in the State of California?  
If so, Provide copies of :
  - A. Your corporation's tax exemption letters from both the Internal Revenue Service and the State Franchise Tax Board.
  - B. A recent copy of the Exempt Letter of Good Standing from the Franchise Tax Board.
  - C. Certificate of Status of Domestic Corporation from the Secretary of State.

- Is your institution accredited by the Western Association of Schools & Colleges ("WASC") or a similarly recognized organization that provides regional accreditation?

Please provide latest accreditation notification(s).

- Is your institution non-sectarian?

If your institution requires students to take courses in religion or theology, the applicant must provide a factual showing that such required courses (a) are taught according to the academic requirements of the subject matter, (b) cover a range of human religious experiences, (c) are not limited to courses about a particular faith, and (d) are not taught in a manner for the purpose of indoctrinating or proselytizing students.

- Has your institution functioned a minimum of three years prior to submitting an application for financing, and can provide three years of audited financial statements?

Please provide the last three years of audited financial statements.

- Are your most recent audited financial statements free of "going concern" language, which questions your ability to continue operations?
- Are you a non-profit 501(c)(3) corporation, for purposes of federal and state tax law?

If you answered "NO" to any of the questions above, you are ineligible.

2. Your program's eligibility Yes   No

Does/Will the program provide one or more of the following elements? \_\_\_\_\_

- Provide academic assistance, such as academic enrichment or mentoring programs for low and very low-income students.
- Provide guidance in the college admissions process for low and very low-income students.
- Expand postsecondary educational opportunities by informing students of the benefits of, and the requirements for, higher education, for low and very low-income students.

Does/Will the program serve a comprehensive school or schools? \_\_\_\_\_

Does/Will the program serve schools that are located in a low to very – low income area? \_\_\_\_\_



If you answered **no** to any question above, you are not eligible to receive a grant.

If you answered **yes** to all questions, you may continue completing the remaining pages of the application.

### **C. Program Description**

#### **General**

1. Briefly describe the program, including its goals and objectives.
2. Describe how you propose to enhance or develop your new or existing program.  
(Please limit to one page)
3. Describe the anticipated benefit to this program that additional funds would provide  
(submit supporting documentation, if available).
4. Is the program an individual program or a collaborative effort? If this is a collaborative effort, what school(s) are you working with?

#### **Benefits**

1. Describe and provide supporting documentation that explains how the grant will contribute to one or more of the following:
  - a) Informing students of the benefits of and the requirements for higher education.
  - b) Preparing students for college entrance
  - c) Providing programs such as academic enrichment and/or mentoring programs.
2. Describe the extent to which the program will serve, or is serving, qualified schools in geographic areas that are not currently being served by similar programs.
3. Describe the extent to which the program serves low income students.
4. Describe the extent to which the program serves very-low income students.
5. Describe the extent to which the program serves schools in low or very low-income areas.
6. For each school served, list the percentage of pupils who graduate from the school who are eligible for admission to the California State University or the University of California, according to the most recent information from the California Postsecondary Education Commission.

### Commitment

1. Describe the extent to which the applicant has committed its own funds, or funds obtained from other sources, to the program.
2. Describe the extent of applicant's commitment to providing need-based financial assistance to its students. Please provide documentation showing the percentage of students who receive financial aid directly from the applicant's own funds.

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#### **D. Program Readiness and Feasibility**

##### **New Programs:**

1. Demonstrate program feasibility for five years, including budgets and an implementation timetable.
2. Demonstrate the program is ready to be implemented.
3. Demonstrate the program is well structured to provide academic assistance, guidance in college admissions, or to expand the educational opportunities of students at qualified schools.
4. The extent to which the program will serve qualified schools in geographic areas that are not currently being served by similar programs.
5. Documentation of prior program(s) success, if applicable.

##### **Existing Programs:**

1. Date services to students began.
2. The extent to which the program has demonstrated a record of success in providing academic assistance, guidance in college admissions, or in otherwise expanding the educational opportunities of students. Include the programs success in improving SAT scores, high school graduation rates, or college acceptance rates in the schools it serves.
3. Please describe how the program identifies students needs and how the students progress is monitored
4. Please provide statistics for the last three years indicating the number of students that have participated in the program.
5. Describe the dollar amount expended on the program in each of the last three fiscal years.
6. Describe how the additional grant funds will be used to enhance or expand your existing program.

**Note:** In no event shall a grant to finance a program exceed the total cost of the program, as determined by the applicant and approved by the Authority.

**E. Sources and Uses of Funds\***

All applicants must submit a budget for its proposed program including all sources and uses of funds. If funding sources for the program are other than internal funds, all applicants must submit copies, if available, of written commitments of these funding sources. **CEFA grant funds cannot be the only funding source for the program.**

In the first column, list the actual expenditure for this program (for existing programs); **note: CEFA grant funds cannot exceed the amount currently expended for this Program, unless funds, are expended over a three year period in increments equal to or less than the current annual expenditure.**

\*Total Sources must equal Total Uses. In no case can a grant award exceed the total current expenditures for this Program.

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<b><u>Sources of Funds:</u></b>	Actual expenditures for Program in current year	Program budget for the first fiscal year in which grant funds will be used	Budget for 2 <sup>nd</sup> year	Budget for 3 <sup>rd</sup> year	Budget for 4 <sup>th</sup> year	Budget for 5 <sup>th</sup> year
Total CEFA Grant Requested	n/a	\$	\$	\$	\$	\$
Applicant Internal Funds		\$	\$	\$	\$	\$
Other funds (grants, etc.):		\$	\$	\$	\$	\$
Total Sources	\$	\$	\$	\$	\$	\$
<b><u>Uses of Funds:</u></b>						
Mentoring	\$	\$	\$	\$	\$	\$
Academic enrichment	\$	\$	\$	\$	\$	\$
Guidance in college admissions	\$	\$	\$	\$	\$	\$
Informing of college benefits/ requirements	\$	\$	\$	\$	\$	\$
Other (list):	\$	\$	\$	\$	\$	\$
Total Uses	\$	\$	\$	\$	\$	\$
# of students that are/will be participating in the program						

**F. Financial Capacity**

As part of its due diligence review, the Authority staff will review your most recent audited financial statements to determine your organization will continue its current operations into the foreseeable future. The review will ensure there is no 'going concern' language as part of the audit.

**G. Application Submission**

Applications must be submitted in duplicate to the Authority. The Authority will accept applications on an on-going basis until the program funding is exhausted. Each applicant may apply only once.

Please submit completed application by mail to:

California Educational Facilities Authority  
915 Capitol Mall, Suite 590  
Sacramento, CA 95814

## LEGAL STATUS QUESTIONNAIRE

For purposes of the following questions, the term “applicant” shall include the applicant and the project sponsor, the parent of the applicant and the project sponsor, and any subsidiary of the applicant or project sponsor if the subsidiary is involved in (for example, as a guarantor) or will be benefited by the application or the project. In addition to each of these entities themselves, the term “applicant” shall also include the direct and indirect holders of more than ten percent (10%) of the ownership interests in the entity, as well as the officers, directors, principals and senior executives of the entity if the entity is a corporation, the general and limited partners of the entity if the entity is a partnership, and the members or managers of the entity if the entity is a limited liability company.

### Civil Matters

	<u>Yes</u>	<u>No</u>
1. Has the applicant filed a bankruptcy or receivership case or had a bankruptcy or receivership action commenced against it, defaulted on a loan, or been foreclosed against in the <b><i>past ten years</i></b> ? If so, please explain.	_____	_____
2. Is the applicant <b><i>currently</i></b> a party to, or been notified that it may become a party to, any civil litigation that may materially and adversely affect (a) the financial condition of the applicant’s business, or (b) the project that is the subject of the application? If so, please explain.	_____	_____
3. Have there been any administrative or civil settlements, decisions, or judgments against the applicant within the <b><i>past ten years</i></b> that materially and adversely affected (a) the financial condition of the applicant’s business, or (b) the project that is the subject of the application? If so, please explain and state the amount.	_____	_____
4. Is the applicant <b><i>currently</i></b> subject to, or been notified that it may become subject to, any civil or administrative proceeding, examination, or investigation by a state or federal licensing or accreditation agency, a state or federal taxing authority, or a state or federal regulatory or enforcement agency?	_____	_____
5. In the <b><i>past ten years</i></b> , has the applicant been subject to any civil or administrative proceeding, examination, or investigation by a state or federal licensing or accreditation agency, a state or federal taxing authority, or a state or federal regulatory or enforcement agency that resulted in a settlement, decision, or judgment? If yes to either question, please explain.	_____	_____

**Criminal Matters**

Yes

No

6. Is the applicant ***currently*** a party to, or the subject of, or been notified that it may become a party to or the subject of, any criminal litigation, proceeding, charge, complaint, examination or investigation, of any kind, involving, or that could result in, ***felony charges*** against the applicant? If so, please explain. \_\_\_\_\_
7. Is the applicant ***currently*** a party to, or the subject of, or been notified that it may become a party to or the subject of, any criminal litigation, proceeding, charge, complaint, examination or investigation, of any kind, involving, or that could result in, ***misdemeanor charges*** against the applicant for matters ***relating to the conduct of the applicant's business***? If so, please explain. \_\_\_\_\_
8. Is the applicant ***currently*** a party to, or the subject of, or been notified that it may become a party to or the subject of, any criminal litigation, proceeding, charge, complaint, examination or investigation, of any kind, involving, or that could result in, criminal charges (whether felony or misdemeanor) against the applicant for any ***financial or fraud related crime***? If so, please explain. \_\_\_\_\_
9. Is the applicant ***currently*** a party to, or the subject of, or been notified that it may become a party to or the subject of, any criminal litigation, proceeding, charge, complaint, examination or investigation, of any kind, that could ***materially affect the financial condition of the applicant's business***? If so, please explain. \_\_\_\_\_
10. Within the ***past ten years***, has the applicant been convicted of any ***felony***? If so, please explain. \_\_\_\_\_
11. Within the ***past ten years***, has the applicant been convicted of any ***misdemeanor related to the conduct of the applicant's business***? If so, please explain. \_\_\_\_\_
12. Within the ***past ten years***, has the applicant been convicted of any ***misdemeanor for any financial or fraud related crime***? If so, please explain. \_\_\_\_\_

LEGAL DISCLOSURE INFORMATION  
(Please explain any “yes” answers on Attachment A)

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## AGREEMENT AND CERTIFICATION

The Executive Director of the agency, Board Chairperson, or other individual with the Authority to commit the agency to contract shall complete the following certification:

- 1. The applicant certifies that the information contained in the application and attachments is true and correct to the best of its knowledge and belief and understands that misrepresentation may result in the cancellation of a grant and other actions, which the Authority is authorized to take.*
- 2. Applicant may be required to return all or a portion of the grant if the applicant fails to use grant funds as approved or the program is discontinued.*
- 3. Grant funds will only be used for the purposes described in the application for the duration of the funding term .*
- 4. The program and financial records of the applicant are subject to the Authority's and/or the Bureau of Stat Audit's audit and inspection.*
- 5. Applicant has either disclosed all legal information or has no legal information to disclose.*
- 6. Applicant will notify the Authority in when funds have been expended and certify that the program remained in existence throughout the fiscal year that grant funds were used.*
- 7. Applicant will meet all necessary requirements prior to the release of the grant*

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By (Print Name)

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Signature

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Title

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Date

## Attachment D – Definitions

- (a) “Academic Assistance” means academic assistance and services to inform pupils of the benefits of, and the requirements for, higher education. These services include assisting students in making educational plans, selecting appropriate courses, developing career plans, meeting academic requirements, and planning for graduation and further education.
- (b) “Academic Enrichment” means any of the following services to provide exposure to the skills and experiences that build a foundation to support the transition of a college-bound student to the college learning experience: assistance in reading, study skills, or other academic areas, cultural enrichment programs (such as going to museums and lectures), college campus visits, on-campus summer programs focusing on coursework, test-preparation programs, and workshops on college life.
- (c) “Act” means Article 9 (Commencing with Section 94215) of Chapter 2 of Part 59 of Division 10 of the Education Code.
- (d) “Actual Expenditures for Program in Most Recent Year” means the total direct and indirect costs of the Program that were paid by the Applicant in the most recent fiscal-year.
- (e) “Administrative Costs” means actual costs incurred by the Authority and other state agencies as permitted by law for administering the CEFA Academic Assistance Grant Program.
- (f) “Allocation” means the amount of funds awarded to an Applicant by the Authority.
- (g) “Applicant” means either one of the following:
- (1) An individual Private College that submits to the Authority an application for a grant award.
  - (2) Two or more Private Colleges that have entered into an intercollege agreement for the purposes of the Act to offer programs that include Academic Assistance, Enrichment Program, Mentoring Program, or Guidance In College Admission and that submit to the Authority an application for a grant award.
- (h) “Application Form” means the request by an Applicant to the Authority for a Grant under the CEFA Academic Assistance Grant Program which includes pages 1-\_\_\_\_, Attachments A-\_\_\_\_ and all materials submitted with Form #\_\_\_\_.
- (i) “Authority” or “CEFA” means the California Educational Facilities Authority.
- (j) “CEFA Academic Assistance Grant Program” means the program administered by the Authority to make grants pursuant to the Act.

(k) “College entrance preparation” means assistance with college entrance examinations.

(l) “Comprehensive School” [is a ‘Comprehensive High School’, as defined in California Code of Regulations, Title 2, Section 1859.2] means a high school that serves grades 7-12 or 9-12 that offers a variety of curricula, including common courses that emphasize academic achievement and traditional subjects that all students are required to take.

(m) “Executive Director” means the Executive Director of the California Educational Facilities Authority.

(n) “Going Concern Qualification” means an assumption by an auditor that the carrying value of an entity’s assets will be realized and its liabilities will be liquidated in the ordinary course of continuing business activity.

(o) “Grant” means a grant awarded pursuant to the CEFA Academic Assistance Grant Program.

(p) “Grantee” means an Applicant that has received Grant approval by the Authority.

(q) “Grant Agreement” means a written agreement for a Grant entered into between a Grantee and the Authority.

(r) “Guidance In College Admissions” means workshops or individualized assistance to help participants complete college entrance and financial aid applications.

(s) “Low income area” means an enrollment area for a high school with 30% or greater enrollment in the free or reduced fee program, as determined by the California State Department of Education.

(t) “Low income student” means a student who is eligible under the reduced fee meal program, as determined by the California State Department of Education.

(u) “Matching Amount” means the amount equal to the grant Allocation that the Applicant has proposed expending on the Program from its own funds.

(v) “Maximum Grant” means \$250,000 per Applicant.

(w) “Mentoring Program” means any program that provides guidance and support to students in academics, preparation for college or transition from high school to college life.

(x) “Most Recent Audited Financial Statement” means a financial statement audited by an independent accounting firm for the most recent fiscal year-end prior to the Application Form submission date.

(y) “Private College” has the same meaning as in subdivision (i) of section 94110 of the Education Code.



(z) “Program” means a program that provides academic assistance and services to pupils attending a qualified school for the purposes specified in Section 94215.3 of the Education Code, that prepares the pupils for college entrance, that advances the academic standing of these pupils, or any combination thereof by providing Academic Assistance, Enrichment, Mentoring, Guidance In College Admissions or College Entrance Preparation.

(aa) “Program Funding Period” means a defined beginning and end date to be approved by the Authority for implementation of the Program by which time all program funds must be expended.

(bb) “Proposed Allocation” means the proposed amount of funds to be awarded an Applicant in a Funding Round based on score and rank.

(cc) “Qualified School” has the same meaning as in Section 94215.9 of the Education Code.

(dd) “Total Grant Funds” means \$2 million less Administration Costs.

(ee) “Very low income area” means an enrollment area for a high school with 70% or greater enrollment in the free or reduced fee program, as determined by the California State Department of Education.

(ff) “Very low income student” means a student who is eligible under the free meal program, as determined by the California State Department of Education.

NOTE: Authority Cited: Section 94216.9 of the Education Code. Reference: Section 94215.3 of the Education Code.